



STANFORD UNIVERSITY
SLAC National Accelerator Laboratory
 Operated by Stanford University for the U.S. Department of Energy



DOE Order 483.1A - DOE Cooperative Research and Development Agreements – (11/06/2013)

Site Compliance Plan (final rev., 07/07/2016)

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Introduction

This Site Compliance Plan (SCP):

- a) corresponds with the version of the DOE Order on DOE Cooperative Research and Development Agreements listed in the Prime Contract,
- b) states how the Laboratory complies with applicable requirements as tailored to the risks at the Laboratory,
- c) identifies CRD sections that do not apply, and
- d) documents DOE-approved methods of compliance for applicable requirements and that there are no recurring deliverables*.

Impact on the Contract:

Under the SCP, sections of the CRD are incorporated into the Contract as-is, unless the SCP indicates that a section or portion thereof is inapplicable, or the section has been changed. Thus, for example, if “In compliance” is listed next to a CRD section, that section is incorporated into the Contract as-is. However, where an SCP indicates that a section or portion thereof is inapplicable, the section or portion thereof is excluded from the Contract. In addition, where a section or portion thereof is applicable, but changes to the section have been agreed by the Parties, the section, as modified by the Parties, shall be incorporated into the Contract. The SCP also memorializes the Parties’ agreement on how SLAC will comply with sections of the CRD (whether or not modified).

Contractor Requirements Document (CRD) – Attachment 1

CRD §	Requirements from CRD, Attachment 1	Compliance Status	Method of Compliance	Deliverables* (managed through SLACTrak)			
				Item	Frequency	Due Date(s)	Recipient (e.g., SSO)
1.	Establish and maintain a management system, including policy and procedures that ensures Cooperative Research and Development Agreement (CRADA) activities requirements of DOE O 483.1A, <i>DOE Cooperative Research and Development Agreements</i> , are satisfied.	In compliance	SLAC’s Intellectual Property and Research Partnerships (IPRP) department has developed and implemented procedures for managing the CRADA process at SLAC.	n/a	n/a	n/a	n/a
2.	Develop in conjunction with the heads of field elements appropriate performance measures for CRADA activities and participate in DOE’s Performance-Based Business Management	In compliance	SLAC will work with SSO to develop appropriate performance measures for CRADAs.	n/a	n/a	n/a	n/a

*Deliverables: Data delivered to DOE or other external agency (e.g., recurring reporting)



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	Process or other appraisals in accordance with the facility contract.						
3.	Submit to DOE Contracting Officer, CRADAs and Joint Work Statements (JWSs) for review and approval unless the DOE Contracting Officer delegates these functions in accordance with DOE policy.	In compliance	SLAC procedures include review and approval of CRADAs and Joint Work Statements (JWSs) by the DOE Contracting Officer.	n/a	n/a	n/a	n/a
4.	Ensure proposed work involving human and/or animal subjects are in compliance with established regulations for protection of these subjects.	In compliance	SLAC's IPRP procedures include review and confirmation that those requirements are met.	n/a	n/a	n/a	n/a
5.	Ensure projects are in compliance with DOE environmental, safety, and health requirements, including the National Environmental Protection Act, and 10 CFR Part 851 (Worker Safety and Health Program), if applicable.	In compliance	SLAC's IPRP procedures include review and confirmation that those requirements are met.	n/a	n/a	n/a	n/a
6.	Ensure projects are protected in accordance with applicable security, safeguards, and classification and controlled unclassified information policies and procedures, including the site security plan or supplemental security plan specific to a project, as well as CRDs for other Departmental directives governing the identification and protection of classified and controlled unclassified information.	Not applicable to SLAC; SLAC does not have classified information.					
7.	Ensure contractor employees protect proprietary information and data provided by private sector collaborators and Participants in the conduct of CRADA activities as well as any generated data marked in accordance with the CRADA provisions. Any protectable data generated or exchanged as a result of this CRADA will be marked, handled, and	In compliance	SLAC has processes for marking and appropriately handling CRADA protected information.	n/a	n/a	n/a	n/a

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	safeguarded in accordance with all applicable federal laws, rules, regulations and DOE Orders or directives, including but not limited to, the Trade Secrets Act (18 U.S.C. §1905), the Freedom of Information Act (FOIA) (5 U.S.C. §552), DOE's implementing FOIA regulations at 10 C.F.R. Part 1004, the Federal Technology Transfer Act (15 U.S.C. §3710a(c)), and DOE Order 471.3, Identifying and Protecting Official Use Only Information.						
8.	Request DOE approval for construction at a DOE site when that construction cost estimate exceeds the general plant project threshold. Approval by the cognizant Secretarial Officer and the Chief Financial Officer is required prior to initiation of work which exceeds the threshold.	In compliance	Construction for CRADA related work at SLAC is not expected based on the nature of the Laboratory's CRADA mission. The IPRP procedures address this requirement, should it be needed.	n/a	n/a	n/a	n/a
9.	Maintain a project summary listing of information on each active CRADA project.	In compliance	SLAC maintains a listing of all active CRADAs.	n/a	n/a	n/a	n/a
10.	Maintain project file information documenting policy compliance.	In compliance	SLAC maintains file information on approved CRADAs.	n/a	n/a	n/a	n/a
11.	Provide a final technical report, appropriately marked, to DOE's Office of Scientific and Technical Information, at the completion or termination of the CRADA.	In compliance	Final technical reports are filed in compliance with OSTI requirements.	n/a	n/a	n/a	n/a
12.	Submit information on CRADAs as part of the annual Federal Laboratory Technology Transfer Report.	In compliance	The annual Federal Laboratory Technology Transfer report requirement is satisfied by the submittal of the Annual Technology Transfer Activities Report required by Contract Clause I.122(k) – DEAR 970.5227-3 – Technology Transfer Mission (Aug 2002) (Deviation July 2006) Alternate 1 (July 2006). This deliverable has been	n/a	n/a	n/a	n/a

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			captured in SLACTrak with an annual due date to SSO of 9/30.				
13.	<p>Non-Federal parties (also referred to as “Participants”) are permitted to use funds previously obtained from federal sources to finance a project. However, when Federal funds are being used by a non-Federal party, such use must be consistent with the underlying funding agreement and special considerations must be taken into account including:</p> <ul style="list-style-type: none"> a. whether the non-Federal party’s previous award contains authority for special data protection that justifies enhanced protection of information generated under the CRADA (i.e. protection of Protected CRADA Information) or in the alternative, limits data protection to a period of protection less than that provided under 15 U.S.C. §3710a; b. any potential inconsistencies in the U.S. Competitiveness clauses between the non-Federal party’s award and the DOE Model CRADA language; c. in case of inconsistencies between the non-Federal party’s award and the CRADA, include a statement that indicates which agreement controls or ensure that such inconsistencies are addressed during negotiations; and d. whether the non-Federal party has clear election rights to inventions made under its previous award. 	In compliance	When Federal funds are being used by a non-Federal party, the underlying funding agreements are reviewed to ensure any special considerations are addressed.	n/a	n/a	n/a	n/a

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Approvals

Name:	Title:	Signature:	Date:
Mark Hartney	Director, Office of Strategic Planning, SLAC	(on file)	
Katherine Woo	Contracting Officer, SSO	(on file)	

Please return signed document to: Contract Management, MS 75